

UNITED STATES DISTRICT COURT
EASTERN DISTRICT OF WASHINGTON

SECURITIES AND EXCHANGE
COMMISSION,

Plaintiff,

v.

DORIS NELSON,

Defendant.

NO: 11-CV-345-RMP

JUDGMENT AGAINST
DEFENDANT DORIS E. NELSON

The Securities and Exchange Commission having filed a Complaint and Defendant Doris E. Nelson having entered a general appearance; consented to the Court's jurisdiction over Defendant and the subject matter of this action; consented to entry of this Final Judgment; waived findings of fact and conclusions of law; and waived any right to appeal from this Judgment:

I.

IT IS HEREBY ORDERED, ADJUDGED, AND DECREED that Defendant and Defendant's agents, servants, employees, attorneys, and all persons in active

1 concert or participation with them who receive actual notice of this Final Judgment
2 by personal service or otherwise are permanently restrained and enjoined from
3 violating, directly or indirectly, Section 10(b) of the Securities Exchange Act of
4 1934 (the “Exchange Act”) [15 U.S.C. § 78j(b)] and Rule 10b-5 promulgated
5 thereunder [17 C.F.R. § 240.10b-5], by using any means or instrumentality of
6 interstate commerce, or of the mails, or of any facility of any national securities
7 exchange, in connection with the purchase or sale of any security:

8 (a) to employ any device, scheme, or artifice to defraud;

9 (b) to make any untrue statement of a material fact or to omit to state a
10 material fact necessary in order to make the statements made, in the light of
11 the circumstances under which they were made, not misleading; or

12 (c) to engage in any act, practice, or course of business which operates or
13 would operate as a fraud or deceit upon any person.

14 II.

15 IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED
16 that Defendant and Defendant’s agents, servants, employees, attorneys, and all
17 persons in active concert or participation with them who receive actual notice of
18 this Final Judgment by personal service or otherwise are permanently restrained
19 and enjoined from violating Section 17(a) of the Securities Act of 1933 (the
20 “Securities Act”) [15 U.S.C. § 77q(a)] in the offer or sale of any security by the use

1 of any means or instruments of transportation or communication in interstate
2 commerce or by use of the mails, directly or indirectly:

3 (a) to employ any device, scheme, or artifice to defraud;

4 (b) to obtain money or property by means of any untrue statement of a
5 material fact or any omission of a material fact necessary in order to make
6 the statements made, in light of the circumstances under which they were
7 made, not misleading; or

8 (c) to engage in any transaction, practice, or course of business which
9 operates or would operate as a fraud or deceit upon the purchaser.

10 III.

11 IT IS HEREBY FURTHER ORDERED, ADJUDGED, AND DECREED
12 that Defendant and Defendant's agents, servants, employees, attorneys, and all
13 persons in active concert or participation with them who receive actual notice of
14 this Final Judgment by personal service or otherwise are permanently restrained
15 and enjoined from violating Sections 5(a) and (c) of the Securities Act [15 U.S.C. §
16 77e(a) and 77e(c)] by, directly or indirectly, in the absence of any applicable
17 exemption:

18 (a) Unless a registration statement is in effect as to a security, making use of
19 any means or instruments of transportation or communication in interstate
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1 commerce or of the mails to sell such security through the use or medium of
2 any prospectus or otherwise;

3 (b) Unless a registration statement is in effect as to a security, carrying or
4 causing to be carried through the mails or in interstate commerce, by any
5 means or instruments of transportation, any such security for the purpose of
6 sale or for delivery after sale; or

7 (c) Making use of any means or instruments of transportation or
8 communication in interstate commerce or of the mails to offer to sell or offer
9 to buy through the use or medium of any prospectus or otherwise any
10 security, unless a registration statement has been filed with the Commission
11 as to such security, or while the registration statement is the subject of a
12 refusal order or stop order or (prior to the effective date of the registration
13 statement) any public proceeding or examination under Section 8 of the
14 Securities Act [15 U.S.C. § 77h].

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IV.

IT IS FURTHER ORDERED, ADJUDGED, AND DECREED that this Court shall retain jurisdiction of this matter for the purposes of enforcing the terms of this Final Judgment.

IT IS SO ORDERED. The District Court Clerk is directed to enter this Judgment and provide copies to counsel and to pro se Defendant.

DATED this 29th day of January 2015.

s/ Rosanna Malouf Peterson
ROSANNA MALOUF PETERSON
Chief United States District Court Judge